

SEMP COMPLIANCE QUESTIONNAIRE

Element 5: Operating Procedures

Date: _____

Organization Name: _____ Facility Name: _____

Additional Information about Auditee and Audit Site:

Auditors:

No.	Q. Code (F/P/B)	Questions and Expectations	Finding (C/N/NA)	Refs.	Observations
1	B	Does the management program specify a process for identifying necessary operating procedures? Example Expectations: 1. Copy of the written plan describing requirements. 2. Evidence of awareness of plan requirements among applicable operating personnel.		RP 75, 5.1	

Question Codes: F -- Facility Related; P -- Program Related; B -- Facility and Program Related.
Finding Codes: C -- Conforming; N -- Non-conforming; NA -- Not Applicable.

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No.	Q. Code (F/P/B)	Questions and Expectations	Finding (C/N/NA)	Refs.	Observations
2	B	<p>Does the management program specify where the written operating procedures are maintained?</p> <p>Example Expectations:</p> <ol style="list-style-type: none"> 1. Copy of the written plan describing requirements. 2. Evidence of awareness of plan location among applicable operating personnel. 3. Demonstrated employee access to the procedures. 		RP 75, 5.1	
3	B	<p>Does the management program require that the following major modes of operations be considered:</p> <ol style="list-style-type: none"> a. start-up, b. shutdown, c. normal operations, d. temporary operations, e. emergency shutdown and isolation, and f. normal shutdown and isolation? <p>Example Expectations:</p> <ol style="list-style-type: none"> 1. Copy of the written plan describing requirements. 2. Copy of procedures containing the required operating modes. 		RP 75, 5.2.b	

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No.	Q. Code (F/P/B)	Questions and Expectations	Finding (C/N/NA)	Refs.	Observations
4	B	<p>Does the management program require operating procedures to address operating limits that outline consequences of process deviation and steps required to correct or avoid deviations?</p> <p>Example Expectations:</p> <ol style="list-style-type: none"> 1. Copy of the written plan describing requirements. 2. Copy of procedures containing the described requirements. 		RP 75, 5.2.c.	
5	B	<p>Does the management program require written guidance for discharge limitations or rules governing the disposal of materials? What types of effluent or materials are addressed in the guidance?</p> <p>Example Expectations:</p> <ol style="list-style-type: none"> 1. Documentation describing requirements. 2. Evidence of awareness of requirements among applicable operating personnel. 3. Copy of procedures containing the described requirements. 4. Copy of written guidance governing proper disposal of materials or by-products to the environment. 		RP 75, 5.2.d.4	

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No.	Q. Code (F/P/B)	Questions and Expectations	Finding (C/N/NA)	Refs.	Observations
6	B	<p>Does the management program require informing and training personnel on the operating procedures?</p> <p>Example Expectations:</p> <ol style="list-style-type: none"> 1. Copy of the written guidance describing requirements. 2. Evidence of awareness of guidance requirements among applicable operating personnel. 3. Example or demonstration of training described in the plan. 		RP 75, 5.3	
7	B	<p>Does the management program include a process or defined method to review operating procedures periodically to verify they reflect current and actual operating practices? Does the methodology require evaluating the degree of hazard an operating procedure may present? Does the methodology specify an operating procedure review frequency?</p> <p>Example Expectations:</p> <ol style="list-style-type: none"> 1. Documentation of the process or methodology. 2. Evidence of awareness of requirements among applicable operating personnel. 3. Documentation that the requirements are being met. 		RP 75, 5.3	

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No.	Q. Code (F/P/B)	Questions and Expectations	Finding (C/N/NA)	Refs.	Observations
8	B	<p>Does the management program require review, documentation, and communication of operating procedure changes to personnel?</p> <p>Example Expectations:</p> <ol style="list-style-type: none">1. Copy of the written guidance describing requirements.2. Evidence of awareness of requirements among applicable operating personnel.3. Documentation that the requirements are being met.		RP 75, 5.3	